

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the Application of:

**Koji SAKUI et al.**

Serial No.: Continuation of 10/202,886, filed July  
26, 2002

Filed: Herewith

For: NONVOLATILE SEMICONDUCTOR  
MEMORY

Atty. Docket No.: 001701.00236

Group Art Unit: Unknown

Examiner: Unknown

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with Applicants' duty of disclosure, the following information is submitted for consideration by the United States Patent and Trademark Office in connection with the above-captioned application. The information is identified on the attached PTO-1449 form.

This application relies, under 35 U.S.C. § 120, on the earliest filing date of prior U.S. patent application serial nos. 10/202,886, filed July 26, 2002; 09/921,570, filed August 6, 2001; and 09/393,201, filed September 9, 1999. The documents identified on the attached PTO 1449 form were submitted to and/or cited by the Office in a prior application and, therefore, copies are not required to be provided in this application. (See 37 C.F.R. § 1.98(d)).

Applicants do not waive any right to take appropriate action to establish patentability over the listed documents should they be applied as references against the claims of the present application.

It is respectfully requested that the Examiner fully consider each of the documents, initial the enclosed Form PTO-1449 in the appropriate place to indicate that the document has been

considered, and return a copy of the initialed form to the undersigned in accordance with MPEP Section 609.

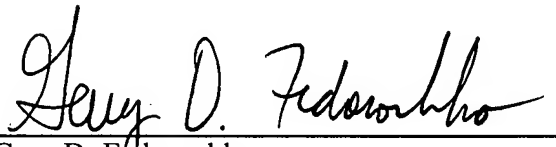
Applicants believe that no fee is necessary pursuant to 37 C.F.R. § 1.97(b). However, if a fee is due, the Office is authorized to charge Deposit Account No. 19-0733.

Respectfully submitted,

BANNER & WITCOFF, LTD.

Dated: August 12, 2003

By:

  
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Gary D. Fedorochko  
Registration No. 35,509

1001 G Street, N.W.  
Washington, D.C. 20001-4597  
(202) 508-9100

GDF:lab

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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	TBA
				Filing Date	Herewith
				First Named Inventor	Koji Sakui et al.
				Group Art Unit	Unknown
				Examiner Name	Unknown.
Sheet	1	of	2	Attorney Docket Number	01701.00236

U.S. PATENT DOCUMENTS						
Examiner Initials *	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		4,636,984	B1	Neukomm	01-13-1987	
		5,043,942	B1	Iwata et al.	08-27-1991	
		5,379,254	B1	Chang	01-1995	
		5,541,879	B1	Suh et al.	07-30-1996	
		5,557,124	B1	Roy et al.	09-1996	
		5,568,420	B1	Lim et al.	10-22-1996	
		5,606,527	B1	Kwack et al.	02-25-1997	
		5,615,152	B1	Bergamont	03-1997	
		5,680,346	B1	Pathak et al.	10-1997	
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		5,740,107	B1	Lee	04-14-1998	
		5,754,469	B1	Hung et al.	05-1998	
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		5,963,476		Hung et al.	10-1999	
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		6,055,188	B1	Takeuchi et al.	04-2000	
		6,172,905		White et al.	01-2001	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sub>6</sub>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
		EP	0440265	A		08-07-1991		
		EP	0704852	A2		04-03-1996		
		JP	11-195718			07-21-1999		abst
		JP	2-232898	A	NCE Corp	09-14-1990		abst

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		Filing Date	Herewith
		First Named Inventor	Koji Sakui et al.
		Group Art Unit	Unknown
		Examiner Name	Unknown.
Sheet 2 of 2	Attorney Docket Number	01701.00236	

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		"SESSION XII: ROMs, PROMs AND EROMs THPM 12.6:A 16Kb Electrically Erasable Nonvolatile Memory", William S. Johnson, et al. ISSCC 80/1980, IEEE International Solid-State Circuits Conference, CH 1490-2/80/0000/0152, pp. 152-153, Feb. 14, 1980	
		"A New Flash E <sup>2</sup> Prom Cell Using Triple Polysilicon Technology", Fujio Masuoka, et al., 464-467 - IEDM 84, CH2099-0/84/0000-0464; 17.3 (1984)	
		"New Ultra High Density EPROM And Flash EEPROM With NAND Structure Cell", Fujio Masuoka, et al., CH2515-5/87/0000-0552 1987 IEEE, IEDM 87 pp. 552-555, May 1987	
		Chapter 1 Basics of Nonvolatile Semiconductor Memory Devices, p. 70; Chapter 4 Floating Gate Flash Memories, p. 212; Chapter 5 SONOS Nonvolatile Semiconductor Memories, p. 316; p. 326, 5.1 The SONOS Nonvolatile Memory Transistor, p. 327; Chapter 5 SONOS Nonvolatile Semiconductor Memories, p. 344, (Undated)	
		European Search Report dated September 22, 2000	
		Art Lancaster et al., ISSCC Dig. Tech. Papers, "Nonvolatile Memory," February 1983, pp. 164-165	
		Yoshiaki Kamigaki et al., IEEE J. of Solid-State Circuits, Vol. 24, No. 6, "Yield and Reliability of MNOS EEPROM Products," December 1989, pp. 1714-1722	
		Atsushi Nozoe et al., ISSCC99/Session 6/Paper MP6.5, "A 256 Mb Multilevel Flash Memory with 2MB/s Program Rate for Mass Storage Applications," pp. 1-6	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.